

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

ATTN: BOX PATENT APPLICATION

Sheet 1 of 2

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

Docket No.: 02-283

Date: October 16, 2003

03945 U.S. PTO  
10/687034



U.S. Express Mail Label No.:

EV323568654US

Inventor Name(s):  
PENGFEI MA

Title:

SYSTEM FOR PREVENTING SWING WAG FOR A WORK MACHINE WITH A BOOM  
ASSEMBLY

☒ Fee Transmittal Form Attached in Duplicate

☒ Specification and Claim(s) [Total Pages  ]

☒ Drawing(s) [Total Sheets  ]

Declaration [Total Pages  ]

☒ Newly Executed (Original or Copy)

☐ Copy From Prior Application (37 CFR § 1.63(d))

☐ Deletion of Inventor(s) (37 CFR § 1.63(d)(2))  
(Signed Statement Attached)

☒ Assignment Papers (Cover Sheet and Document(s))

☐ 37 CFR § 3.73(b) Statement (if applicable) ☐ Power of Attorney

☐ English Translation Document (if applicable)

☒ Information Disclosure Statement (IDS)/PTO-1449

☒ Copies of IDS Citations

☐ Preliminary Amendment

☒ Return Receipt Postcard (Specifically Itemized)

☐ Certified Copy of Priority Document(s)

☐ Other

Sheet 2 of 2

If a Continuing Application

☐ Continuation      ☐ Divisional      ☐ Continuation-In-Part (CIP)

of prior Application No.: \_\_\_\_\_ ;

Examiner : \_\_\_\_\_ ; and

Group/Art Unit:

☐ Cancel Claims:

For Continuations or Divisional Applications only: The entire disclosure of the prior application, from which an oath or declaration is supplied, as set forth above, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

Correspondence Address:

☒ Customer Number or Bar Code Label:

719

or

☐ Correspondence address below:

Name:

Address:

City:

State:

Zip Code:

Country:

\*\*\*\*\*

Attorney/Agent: James R. Smith

Registration No.: 41,318

Signature: \_\_\_\_\_

Caterpillar Inc.

Date: \_\_\_\_\_

10/16/03

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 770

## Complete if Known

Application Number (Unassigned)  
 Filing Date (Herewith)  
 First Named Inventor Pengfei Ma  
 Examiner Name (Unassigned)  
 Art Unit (Unassigned)  
 Attorney Docket No. 02-283

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account

Deposit

Account Number 03-1129

Deposit

Account Name

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☐ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1001 750	2001 375	Utility filing fee	770
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			770

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
10	-20** = 0	18	0
Independent Claims 2	-3** = 0	86	0
Multiple Dependent Claims			
Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1202 18	2002 9	Claims in excess of 20	
1201 84	2001 42	Independent claims in excess of 3	
1203 280	2203 140	Multiple dependent claim, if not paid	
1204 84	2204 42	**Reissue independent claims over original patent	
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)			0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

## SUBMITTED BY

(Complete (if applicable))

Name (Print/Type)

James R. Smith

Registration No.  
(Attorney/Agent)

41,318

Telephone

(309) 636-1569

Signature

James R. Smith

Date

10/16/2003

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 37 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.